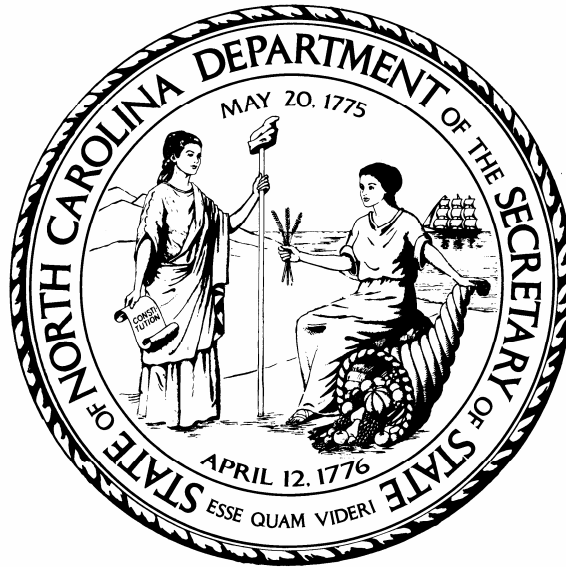


NORTH CAROLINA
DEPARTMENT OF THE
SECRETARY OF STATE

Old Revenue Building Complex
2 South Salisbury Street
Raleigh, NC
Mailing Address:
P.O. Box 29622
Raleigh, NC 27626-0622

Phone 919-807-2000
Fax 919-807-2010



Department of the Secretary of State

IT Plan

2009 – 2011 Biennium

Table of Contents

I. INTRODUCTION.....	5
II. MAJOR FACTORS INFLUENCING THE PLAN.....	7
VISION OF THE DEPARTMENT.....	7
MISSION OF THE DEPARTMENT	7
BUSINESS GUIDELINES OF THE DEPARTMENT	7
KEY BUSINESS GOALS OF THE DEPARTMENT.....	7
GOVERNMENTAL MANDATES	11
III. CURRENT SITUATION AND DESIRED STATE OF MAJOR IT APPLICATIONS/INFRASTRUCTURE ASSETS, PERSONNEL, PROJECTS, AND MANAGEMENT FUNCTIONS.....	12
LEGACY APPLICATIONS AND APPLICATIONS PORTFOLIO	12
CURRENT AND FUTURE IT PROJECTS	13
IT PERSONNEL	14
IT INFRASTRUCTURE ASSETS	15
IV. MAJOR IT INITIATIVES AND INVESTMENTS.....	17
V. APPENDICES.....	19
APPENDIX A. DSOS IT DIVISION ORGANIZATIONAL CHART	21
APPENDIX B. IT INFRASTRUCTURE ASSET LISTING – DESKTOP & LAPTOP INVENTORY	22
APPENDIX C. IT INFRASTRUCTURE ASSET LISTING – DSOS SERVER INVENTORY	23
APPENDIX D. IT INFRASTRUCTURE ASSET LISTING – DSOS OPERATING SYSTEM SOFTWARE INVENTORY	24
APPENDIX E. IT INFRASTRUCTURE ASSET LISTING – DSOS PRODUCTIVITY SUITE INVENTORY	25

I. Introduction

The Department of the Secretary of State is the second oldest government office in North Carolina. The Secretary of State heads the Department and is elected to a four-year term by the citizens of North Carolina. The Secretary of State is a constitutional officer and member of the Council of State.

The primary purpose of the Department of the Secretary of State is to serve and protect the citizens, business community, and government agencies by facilitating business activities, providing accurate and timely information, preserving public documents and records, and protecting the public from investment, charitable solicitation, and intellectual property fraud. The primary users of the Department's services are law firms, accounting agencies, financial institutions, media outlets, and other government agencies

For the most part, the Department's long-term business strategy looks like most of the rest of state government; the future looks like the past and the present. Most agencies do not have the authority to invent or discover and then implement new services and fees. Likewise, the content and realization of future legislation is nearly impossible to predict. Since the current business model is expected to last into the near future, the information technology (IT) plan is to address recently passed legislation and help the agency improve its current business practices and provide more efficient and timely business services.

The economy of North Carolina is enriched by rapid and secure access to financial capital by the business community. The Department of the Secretary of State is North Carolina's lead agency in helping to facilitate the formation of financial capital by the private sector business community. The Department accomplishes this through the collection, distribution, public disclosure, and dissemination of legislatively designated commercial information in as "transparent" manner as possible, both manually and through very advanced electronic commerce applications.

Paralleling this is an agency enforcement presence that investigates fraudulent and inaccurate disclosures of the information and then imposes a range of civil and criminal penalties for such misconduct. A critical IT component of this enforcement activity is performing computer forensic discovery activities on suspect electronic equipment confiscated during investigations. Underlying this two-track system is the authority of the Secretary of State to authenticate and verify the various trademarks and signatures on an entire range of business and governmental documents. This helps instill a high level of "trust", integrity, and reliability in global business transactions.

First, the Department facilitates the formation, on-going activities, and dissolution of business entities by processing articles of incorporation, receiving filings of annual reports, dissolving delinquent and non-responding business entities, and suspending entities reported to us by the Department of Revenue that do not file state tax returns.

Second, the Department assists entities in raising and securing financial capital by accepting filings of commercial loan recordings, regulating the sale of stocks and other financial instruments, regulating the activities of brokers and investment advisers, approving business opportunities, and licensing charitable solicitors.

Third, the Department enables secure and authenticated business transactions by:

- Commissioning public notaries and e-notaries;

- Establishing the authenticity of documents to foreign countries;
- Registering and renewing in-state trademarks and service marks;
- Administering the Electronic Commerce Act and licensing certification authorities in North Carolina that want to do business with state government; and
- Accepting and preserving Advance Health Care Directives documents filed by citizens.

The Department has trained and certified computer forensic technicians and analysts and certified law enforcement personnel to investigate and enforce securities and investment adviser laws, trademark and service mark laws, notary public and e-notary laws, lobbying compliance laws, and charitable solicitation licensing laws.

In addition, the Department establishes statewide electronic storage standards for vital municipal and county government land records; maintains municipal annexation maps and ordinances; maintains municipal charter amendments; and maintains county boundary maps filed with the Department. The Department is also the repository for official copies of ratified laws and administers several other statewide programs.

II. Major Factors Influencing the Plan

Vision of the Department

The guiding vision of the Department of the Secretary of State is to make conducting business with the Department an easy and intuitive experience from anywhere in North Carolina, thus providing a level playing field to citizens and businesses all across the state. The Department foresees providing productive and efficient electronic tools to help customers comply with state laws the Department is charged with administering and enforcing, and providing the customers with timely and universal access to our business services and public information in an effort to continue to expand the state's lead over the other states in the area of electronic commerce.

The Department envisions providing customers with electronic interfaces for all of our services that work in harmony with technology used by other North Carolina agencies, businesses, and citizens, making access to the agency's records much more "transparent" than in the past.

Mission of the Department

This Agency's mission is to:

- Support economic growth, promote the public trust and fulfill statutory mandates by providing initial infrastructure for corporate organizations and transactions,
- Protect citizens and businesses from misrepresentation and fraud by providing public access to accurate and timely information, through law enforcement and through the issuance of professional credentials.

The Department fosters a well-informed citizenry, business community and government, by promoting a responsive, transparent, competitive, and ethical business climate.

Business Guidelines of the Department

The business guidelines of the Department of the Secretary of State are:

Business-focused: To ensure that program initiatives relate to satisfying the needs of our customers, meeting legal mandates, and are aligned with the customers' perspectives, not necessarily that of government.

Accountable: To use taxpayers' money wisely and produce results that are efficient, productive, and generate an acceptable return for our customers.

Integrity: To treat customers fairly and professionally, no matter how they choose to do business with the Department.

Collaborative: To be an enterprise team player committed to helping our customers, businesses, other state agencies, and cross-jurisdictional partners succeed.

Entrepreneurial: To think creatively and strive to improve performance and service by evaluating new ideas and taking reasonable risks to enhance and provide better solutions to meet our goals and objectives and those of our customers.

Key Business Goals of the Department

The Department's goals and business strategies for the Results Based Budget (RBB) initiative were sent to the Office of State Budget and Management (OSBM)

earlier this year. To insure the alignment of IT strategies with the RBB goals, the Department's goals have been included in this document.

The following Departmental goals have been identified by the Department for the next planning period in the RBB information submitted to OSBM. Information technology (IT) does not have a requirement and IT strategy component to meet for every RBB goal. Where there is an IT strategy for the goal, it is included.

GOAL 1: Facilitate economic growth and investment in North Carolina by maintaining a state of the art system of business document filings to provide continuous real-time online access by the public.

IT Strategy 1: Provide for online filings of all business corporations documents via the Web.

Actions:

- Define and document and design online corporate transactions.
- Propose and draft required law changes to facilitate online filings.
- Develop the online corporations filing system.
- Train internal staff to use and test the system.
- Design and develop online help for customers.
- Stress test the system and setup system for production.
- Implement the production system.
- Monitor, enhance, and fine-tune the production system.

IT Strategy 2: Enhance, refresh, and extend useful life of SOSKB. Rewrite remaining SOSKB VB6 & .ASP modules to .NET framework.

Actions:

- Identify remaining VB6 & .ASP modules.
- Design and develop .NET modules.
- Integrate .NET modules into SOSKB and test.
- Develop the trademarks and service marks registration system.
- Train internal staff on new look & feel and test the system.
- Update online help for customers.
- Stress test the system and setup system for production.
- Implement the production system.
- Monitor, enhance, and fine-tune the production system.

GOAL 2: Protect the integrity of commercial and personal documents used by the legal, real estate, business, and financial communities by ensuring the reliability of the signatures on those transaction documents to protect North Carolina's citizens and businesses against fraud.

IT Strategy: Maintain current business-IT operations.

Actions:

- Monitor, enhance, and fine-tune the current production systems.

GOAL 3: Build public confidence in state government and its policy decisions through the regulation of lobbying and related activities and by bringing increased disclosure and transparency to those activities.

IT Strategy: Update Lobbying Compliance Module in SOSKB to reflect lobbying related legislation passed this year.

Actions:

- Define and document business rules and design new lobbying transactions and queries as required by new legislation.
- Develop the new lobbying modules in .NET.
- Train internal staff to use and test the system.
- Design and develop online help for customers.
- Stress test the system and setup system for production.
- Implement the production system.
- Monitor, enhance, and fine-tune the production system.

GOAL 4: Protect the investing and charitable giving public, as well as innovators, intellectual property owners, and others, from misrepresentations and fraud through enforcement of the State's civil and criminal laws, ensuring citizens have the best possible information when making financial decisions.

IT Strategy 1: Update and enhance the Charitable Solicitations Licensing (CSL) module in the SOSKB.

Actions:

- Define and document additional business rules and design additional online CSL transactions and queries.
- Develop the enhancements and modifications to the CSL system.
- Rewrite remaining CSL VB6 and .ASP modules into .NET.
- Train internal staff to use and test the system.
- Stress test the system and setup system for production.
- Implement the enhanced production CSL system.
- Monitor, enhance, and fine-tune the production CSL system.

IT Strategy 2: Research and identify automated solution(s) for the Securities Division to assist staff in monitoring and tracking progress and resolution to claimants in auction-rate securities settlement.

Actions:

- Define and document business rules and requirements for tracking progress, resolutions, and queries for monitoring auction-rate securities settlement.
- Query other federal and state agencies to help identify possible products and integration requirements.
- Develop specifications for turnkey solution from an integrator.
- Develop bid evaluation criteria.
- Solicit bids according to NC procurement laws & rules.
- Review bids & select integrator.

- Train internal staff to use and test the system.
- Stress test the system and setup system for production.
- Implement the production system.
- Monitor the production system.

IT Strategy 3: Migrate 1980's legacy mainframe Trademarks and Service Marks Information System into SOSKB.

Actions:

- Define and document business rules and design online trademarks transactions and queries.
- Propose and draft required law changes to facilitate online filings.
- Develop the trademarks and service marks registration system.
- Import and scrub (clean-up) existing data from mainframe system.
- Train internal staff to use and test the system.
- Design and develop online help for customers.
- Stress test the system and setup system for production.
- Implement the production system.
- Monitor, enhance, and fine-tune the production system.

GOAL 5: Advance the delivery of e-government services to the public to maximize government accessibility and efficiency while reducing costs and enabling North Carolina businesses to become more competitive.

IT Strategy: Support legislation from Office of the State Controller that allows agencies to pay direct credit card processing costs from agency receipts.

Actions:

- Support legislation that may result from the **E-Commerce Long-Range Strategy Report** from the State Controller to promote E-Commerce by allowing state agencies the option to pay processing costs resulting from accepting electronic payments from customers for state services, fees, and penalties.

GOAL 6: Bolster North Carolina's image in the international community by assisting other North Carolina governmental agencies, businesses and institutions in their efforts to engage in international activities and relations.

GOAL 7: Work closely with our customers to ensure we understand and respond to their needs in a courteous and professional manner and exceed their expectations for service incorporating quality, responsiveness, and cost efficiency.

IT Strategy 1: Develop plan and obtain recurring budget to migrate from Department's GroupWise e-mail/e-calendar system to statewide Exchange e-mail/e-calendar system.

Actions:

- Develop realistic cost estimate to migrate and pay recurring costs related to utilizing state's e-mail system above current costs.
- Secure funds to migrate & pay recurring cost difference.

- Develop schedule for migration.
- Train users to use Exchange e-mail/e-calendar system.
- Migrate to state Exchange e-mail/e-calendar system.

IT Strategy 2: Solicit observations, ideas, comments, and criticisms from visitors and customers via online surveys at the Department's Web site.

Actions:

- Engage division directors to define and design online survey(s).
- Develop online survey(s) for Web site.
- Train internal staff to harvest survey results and test the survey(s).
- Stress test the system and setup for production.
- Implement the online survey(s).
- Monitor, enhance, and fine-tune the survey(s).
- Meet with management, discuss results, and implement actions.

Governmental Mandates

1. Enhance Lobbyist and Principal registration and reporting system in SOSKB to conform to changes enacted in Session Law 2008-213, Clarifying Ethics and Lobbying Laws.
2. Provide electronic means to archive and permanently store Register of Deeds copies of "Records of Notaries Public" created prior to 1991 as directed by Session Law 2005-391; Uniform Real Property Electronic Recording Act; due August 2007.
3. Migrate from internal GroupWise e-mail system to state Exchange e-mail system as directed by Session Law 2008-107; 2008-2009 State Budget.

III. Current Situation and Desired State of Major IT Applications/Infrastructure Assets, Personnel, Projects, and Management Functions

Legacy Applications and Applications Portfolio

As required by the State CIO, the Department's legacy applications and applications portfolio were identified, detailed, reviewed, and updated in September 2008 within the ITS Applications Portfolio Management System (APMS). Since the APMS system is online, it is not necessary to repeat all of that information in this document. Information about the current legacy applications and other applications in the portfolio is available online in the APMS system.

1. **Application Name:** Secretary of State Knowledge Base (SOSKB).
Type: Custom developed integrated business application starting in 1999.
Scope: Core Business. Comprehensive, consolidated business critical application that provides access to public information to support North Carolina economy. Includes interactive B-2-G modules used by private businesses and popular customer friendly Web services.
Priority:
Alignment to Department Strategy: Meets business strategy and program priorities.
Future Intentions: Complete design and rewrite of VB6 and .ASP modules to .NET infrastructure. On-going operations and maintenance;
Actual or Scheduled Start Date: July 1999.
Scheduled Completion Date: On-going.
Major Risks: Inadequate in-house IT resources due to other IT priorities.
2. **Project Name:** Trademarks and Service Marks Registration and Information System.
Type: Custom developed starting in 1980's.
Scope: Core Business
Priority:
Alignment to Department Strategy: Meets minimal strategy and program priorities.
Future Intentions: Replace legacy mainframe application with SOSKB module starting with jointly developed code base co-developed with state of North Dakota. Currently identifying required changes to ND code to implement in NC.
Actual or Scheduled Start Date: January 2009.
Scheduled Completion Date: July 2009.
Major Risks: Inadequate in-house IT resources due to other IT priorities.
3. **Project Name:** Securities and Investment Adviser Information System.
Type: Custom developed starting in 1980's.
Scope: Core Business
Priority:
Alignment to Department Strategy: Does not meet current business strategy or program requirements.

Future Intentions: Replace legacy client/server application with SOSKB module that meets current business needs of the Securities Division. Migration of existing system is complete. Additional reporting requirements are being defined and developed.

Actual or Scheduled Start Date: January 2008.

Scheduled Completion Date: July 2009.

Major Risks: Inadequate in-house IT resources due to other IT priorities.

Current and Future IT Projects

As required by the State CIO, the Department's major IT projects are identified, approved, and tracked in the ITS Project Management (PPM) system. Since the PPM system is online and up-to-date, it is not necessary to repeat all of that information in this document. The following identified IT projects include both major and minor IT projects. More information about the Department's major IT projects and their status is available online in the ITS PPM system.

- 1. Project Name and Description:** Enhance Lobbyist and Principal registration and reporting system in SOSKB to conform to changes enacted in Session Law 2008-213, Clarify Ethics and Lobbying Laws.

Problem to be Addressed: New legislation from the 2008 session.

Major Objectives to be Achieved and Business Benefits/Value: Meet the requirements of the new lobbying legislation without increased funding.

Approach for Accomplishing: Add liaison profile and liaison search functionality to Web and modify report indexing to support new search criteria.

Project Sponsor: Lobbying Compliance Director.

Priority: 1.

Additional Funding Needed: None for IT, using existing resources and IT priorities.

Staffing Resources: Using existing staffing resources.

Actual or Scheduled Start Date: September 2008.

Scheduled Completion Date: January 2009.

Major Risks: None identified.

- 2. Project Name and Description:** Research and prepare accurate estimate of resources required to migrate and support from GroupWise e-mail system to statewide Exchange e-mail system as enacted in Session Law 2008-107, 2008-2009 State Budget.

Problem to be Addressed: New legislation from the 2008 session.

Major Objectives to be Achieved and Business Benefits/Value: Meet the requirements of the new statewide e-mail legislation providing a common e-mail solution for most of state government.

Approach for Accomplishing: State law passed this year requires most state agencies to move to and use a statewide e-mail service. The agency currently uses GroupWise, supported in-house. Due to the lack of clerical support staff in the Department, most managers use the e-mail system as their business correspondence filing cabinet to assist in searching for, locating, and retrieving business related correspondence. Therefore, we use an extraordinary amount of e-mail storage resources.

Project Sponsor: Agency CIO.

Priority: 2.

Additional Funding Needed: Currently we spend about \$14,000/year to operate and support GroupWise in-house. The current rough estimate is about \$110,000/ year to operate statewide e-mail in our Department. Most of the cost increase comes from current ITS data storage costs and the increased bandwidth required to send and receive e-mail from a remote Exchange e-mail server. According to ITS, assuming that ITS procured enough Qwest licenses, the cost to migrate from GroupWise to statewide Exchange e-mail will be insignificant.

Staffing Resources: Using existing staffing resources.

Actual or Scheduled Start Date: Late 2009.

Scheduled Completion Date: January 2010.

Major Risks: Inadequate funding.

IT Personnel

A copy of the Department's current IT Division organizational chart is included in Appendix A of this plan. The agency's IT organization has direct involvement in many other divisions of the Department where IT has interests and investments. The following IT issues are outstanding and need addressing in the Department.

1. **IT Issue:** As the in-house developed inventory of production applications continues to grow and mature, the applications development support staff are being utilized less for new applications development and more to support and maintain production applications. In addition, the depth of experienced applications development personnel and the sophistication of the business applications place the Department in a precarious position. If any one of the applications development staff were to leave, project deadlines would slip while recruiting and training a replacement professional for the existing applications development environment. The lower funded IT salaries in the agency will make it hard to recruit and hire a seasoned applications development professional. There is a possibility of extended systems downtime if a crisis occurred during the recruitment and hiring of replacement staff.

Scope: The applications development staff consists of one business & technology applications technician, two business and technology applications analysts, and one IT manager. A significant portion of an analyst's time is spent on database design and administration. These duties should be delegated to a professional database administrator whose specialty is designing and administering databases for security, stability, and peak performance. Today we do the best we can. There is not enough available time to train the staff to use new technologies or software tools, as they must maintain existing critical line of business applications while developing, testing, and deploying new applications and databases.

Need: One additional applications development professional is needed to provide training time for applications development staff, stress relief for current applications development staff, supplement necessary day-to-day applications support staff, and database design and support activities.

2. **IT Issue:** Salary reserves in the Department are inadequate to increase IT professionals' salaries to the most recent August 2006 career-banding salary competency levels.

Scope: In the Department, five of the eleven long-time professional IT employees are earning more than 10% below the salary level for their career-banded competency level. In a small agency that generates very small salary reserves, this is a serious problem. There are not the financial means to address and correct this problem. With an improved economy and a shortage of experienced IT talent in this area, this will likely cause serious IT staff recruitment and retention problems in the future. The legislature should provide adequate salary reserve funding so all state agencies could equitably compensate IT employees according to their career-banded competency levels.

IT Infrastructure Assets

The Department's current IT infrastructure assets are listed in Appendix B through Appendix E.

IT assets are replaced at different intervals, depending upon the type of asset, expected life cycle, warranty status, and rate of repair. Most PCs and laptop computers are replaced on a four-year cycle. Desktop printers are replaced less frequently, usually once the printer is no longer serviceable (six years or more). Network printers are replaced once they are no longer serviceable, usually six to eight years. Wireless data communications equipment providing data communications connectivity between buildings is replaced at four-year intervals. Applications and database servers are replaced at four-year intervals. Data storage servers are replaced or upgraded every three years or as more capacity is needed. Productivity Suite software is replaced at least every 4 years, depending upon operating system, user needs, and statewide enterprise needs.

1. **Asset Name:** Wireless Building-to-Building data communications with state MAN or WAN wired data communications at two downtown leased locations.

Scope: Today a wireless LAN solution provides data communications services from the Old Revenue Building Complex to leased spaces in One Exchange Plaza and the Old Wachovia Building. The desire is to replace this wireless solution with a wired MAN solution.

Priority:

Funding Needed: \$23,000 to install, \$31,200/year to operate.

Actual or Scheduled Start Date: Depends upon funding.

Scheduled Completion Date: Depends upon funding.

Major Risks: Inadequate funding from legislature.

2. **Asset Name:** Desktop PCs and laptop PCs (See Appendix B).

Scope: Refresh aging desktops and laptops on a four-year replacement cycle.

Priority:

Funding Needed: No additional funding needed beyond current funding level.

Actual or Scheduled Start Date: ¼ Annually.

Scheduled Completion Date: ¼ Annually.

Major Risks: Reduction of funding due to budget crisis in North Carolina.

3. **Asset Name:** Desktop and network printers.
Scope: Refresh aging printers on a six to eight-year replacement cycle.
Priority:
Funding Needed: No additional funding needed beyond current funding level.
Actual or Scheduled Start Date: 1/6 Annually.
Scheduled Completion Date: 1/6 Annually.
Major Risks: Reduction of funding due to budget crisis in North Carolina.
4. **Asset Name:** Servers and data storage (See Appendix C).
Scope: Refresh aging servers and data storage on a four-year replacement cycle or as business growth requires.
Priority:
Funding Needed: No additional funding needed beyond current funding level.
Actual or Scheduled Start Date: ¼ Annually.
Scheduled Completion Date: ¼ Annually.
Major Risks: Reduction of funding due to budget crisis in North Carolina.
5. **Asset Name:** Data communications switches and firewalls.
Scope: Refresh aging data communications switches and firewalls on a six to eight-year replacement cycle.
Priority:
Funding Needed: No additional funding needed beyond current funding level.
Actual or Scheduled Start Date: 1/6 Annually.
Scheduled Completion Date: 1/6 Annually.
Major Risks: Reduction of funding due to budget crisis in North Carolina.
6. **Asset Name:** Server Operating System Software (See Appendix D).
Scope: Refresh obsolete or outdated operating system software on as needed basis or when servers are replaced. New PC operating software comes with each new PC.
Priority:
Funding Needed: No additional funding needed beyond current funding level.
Actual or Scheduled Start Date: 1/4 Annually.
Scheduled Completion Date: 1/4 Annually.
Major Risks: Reduction of funding due to budget crisis in North Carolina.
7. **Asset Name:** PC Productivity Suite software (See Appendix E).
Scope: Productivity suite software is replaced about every four years. Usually replaced to stay current and compatible with most other agencies, when new functionality is available and needed, or when statewide enterprise demands it.
Priority:
Funding Needed: No additional funding needed beyond current funding level.
Actual or Scheduled Start Date: 1/4 Annually.
Scheduled Completion Date: 1/4 Annually.
Major Risks: Reduction of funding due to budget crisis in North Carolina.

IV. Major IT Initiatives and Investments

At the Department of the Secretary of State, IT is an important, mature, and necessary resource contributing greatly to the success of the Department's business priorities and the satisfaction of the customers. The scanned document images, automated workflows, common look and feel of the applications, integrated relational databases, and Web services assist employees and customers in meeting the everyday business needs and services provided by the Department.

Since 1998, the Department has invested IT resources to produce an integrated IT infrastructure that can better serve the citizens and businesses of North Carolina. The Secretary of State Knowledge Base (SOSKB) is a mature, custom developed, application that has been licensed to many other secretaries of state throughout the nation. The application has many built-in efficiencies that help the employees deliver the required levels of operational performance necessary to meet the expectations of our business customers. Such SOSKB standard features as:

- check and document scanning,
- document image storage and retrieval,
- manager defined and customized automated workflows,
- cash management reporting,
- automatically generated official correspondence,
- bar-coded turn-around documents,
- automated bulk filings from private sector business partners using XML,
- electronic payment options,
- employee productivity reports, and
- modern Web services

have helped transform the Department from an inefficient paper processing organization of the 1990s to an efficient and effective government agency with rich e-government services. To extend these efficiencies and productivity enhancements to the rest of the Department, the Department is planning to migrate the Securities application and the Trademarks application into the SOSKB. To preserve the investment and extend the useful life of the SOSKB, the Department is investing resources in rewriting modules from VB6 and .ASP to the .NET framework.

Typewriters and green-screen dumb terminals are gone, replaced by an up-to-date information technology infrastructure used by technology literate employees. Thanks to reliable technology and mature applications, the Department processes official documents within the time limits imposed by state statutes and the Department's popular Web site averages over five million Web page views per month. The Department insures that the IT infrastructure supporting these services is up-to-date and performing at optimal levels. The IT infrastructure is maintained and replaced at regular scheduled intervals.

In the future, additional funding will be necessary to support the operational and capital investments resulting from IT consolidation. It is estimated that moving from the in-house e-mail system to the statewide e-mail system will require over \$95,000 per year increased funding for the Department. Providing hot site backup for the Department's in-house business servers at the state's Western Data Center will cost over an additional \$750,000 per year, at the current ITS data storage rates. Other

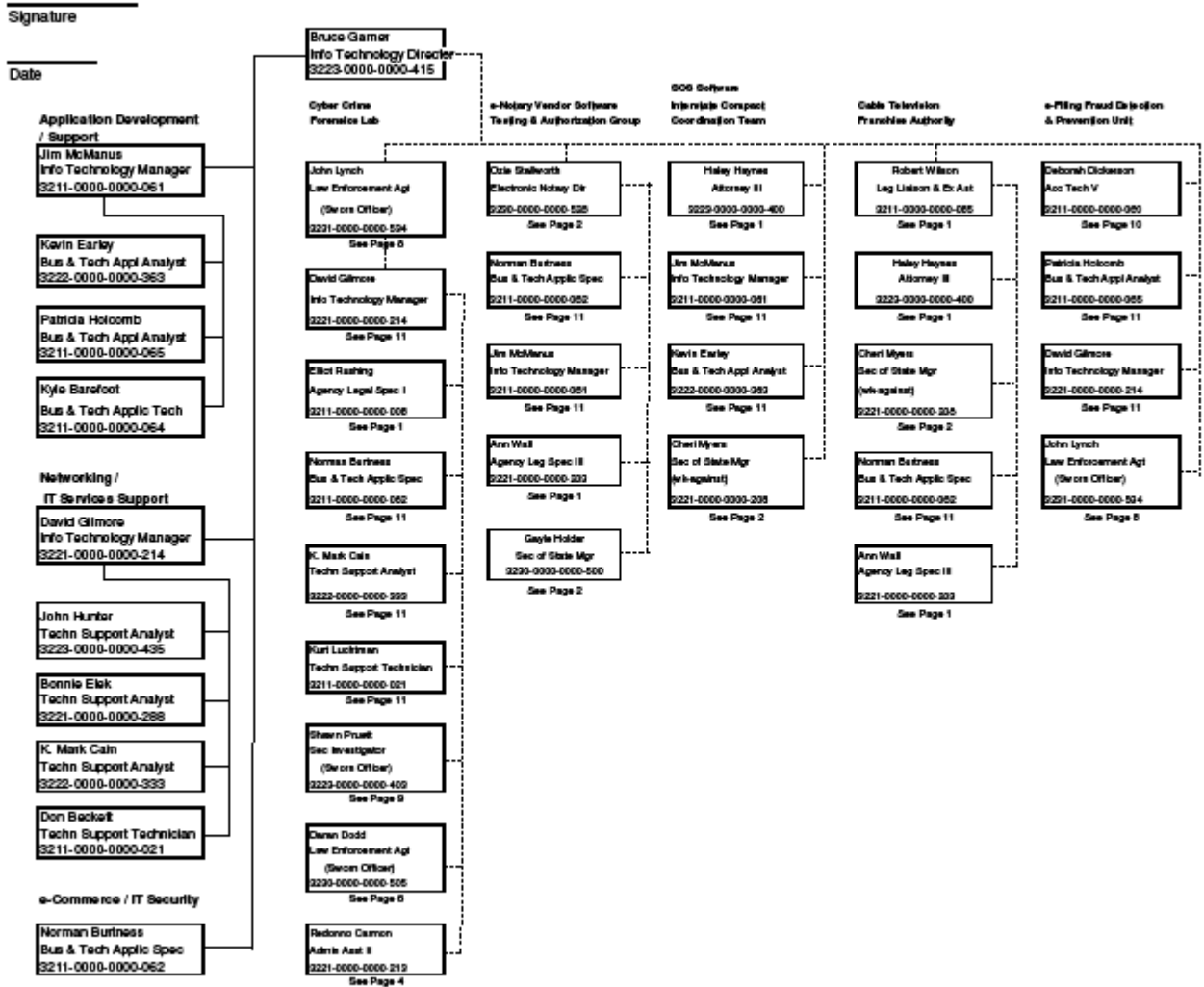
unspecified funding increases in the Department will be necessary to support IT consolidation, as IT consolidation becomes a reality.

In addition, in the near future, state government will need an accurate and responsive e-mail archiving system and an efficient and reliable e-discovery solution to meet the growing legal requirements for e-discovery. The Department will not invest in these needed services until an enterprise solution is selected and proposed.

V. Appendices

Appendix A. DSOS IT Division Organizational Chart

Information Technology Division



Appendix B. IT Infrastructure Asset Listing – Desktop & Laptop Inventory

DSOS - PC Inventory by Operating System & Computer Category		
Operating System	Category	#
Microsoft Vista	Desktop	1
Microsoft Windows 2000 Pro	Desktop	7
Microsoft Windows XP Pro	Desktop	219
Microsoft Windows XP Pro	Laptop	36
Total Microsoft Windows XP Pro		255
Total No Operating System		1
Total Desktop PCs		228
Total Laptop PCs		36

H:\IT Inventory\DSOS PC Inventory Sep 2008

10/1/2008 12:10 PM

Appendix C. IT Infrastructure Asset Listing – DSOS Server Inventory

DSOS - Server Inventory with Roles					
Operating System	Fault Tolerance	Count	Asset Tag	Purchase Date	Role
PGP Linux	None		2796	1/6/2003	PGP Server
PGP Linux		1			
Windows 2000 Advanced Server	None		2797	1/6/2003	Lyris List Server
Windows 2000 Advanced Server	None		2799	1/6/2003	SOSWEB05
Windows 2000 Advanced Server	None		3929	6/16/2004	Intrusion Detection
Windows 2000 Advanced Server		3			
Windows 2000 Advanced Server	Mirror		3874	5/1/2004	Image Server
Windows 2000 Advanced Server	Mirror		3876	5/1/2004	Redundant Image Server
Windows 2000 Advanced Server	Mirror	2			
Windows 2003 Enterprise Server	Raid 5		3124	3/30/2003	Backup DC
Windows 2003 Enterprise Server	Raid 5		3123	3/30/2003	FTP Server
Windows 2003 Enterprise Server	Raid 5		3829	4/17/2003	Web Statistics
Windows 2003 Enterprise Server	Raid 5		4602	4/19/2007	Virtual Server Host
Windows 2003 Enterprise Server	Raid 5		4603	4/19/2007	LifeLinks Web Server
Windows 2003 Enterprise Server	Raid 5		4604	4/19/2007	Virtual Server Host
Windows 2003 Enterprise Server	Raid 5		3961	3/28/2005	Virtual Server Host
Windows 2003 Enterprise Server	Raid 5		3962	3/28/2005	Virtual Server Host
Windows 2003 Enterprise Server	Raid 5 + Spare		4360	11/9/2005	Police Pak Database
Windows 2003 Enterprise Server	Raid 5 + Spare		4359	11/4/2005	Web Server
Windows 2003 Enterprise Server	Raid 5 + Spare		4358	11/4/2005	WebSense Server
Windows 2003 Enterprise Server	Raid 5 + Spare		4357	11/4/2005	Anti-virus Server
Windows 2003 Enterprise Server	Raid 5 + Spare		4370	11/4/2005	Domain Controller
Windows 2003 Enterprise Server	Raid 5 + Spare		4369	11/4/2005	Backup Server
Windows 2003 Enterprise Server		14			
Windows 2003 Enterprise Server	Mirror		4037	2/24/2006	SQL Server
Windows 2003 Enterprise Server	Mirror	1			
Netware 6.5 SP7	Raid 5		3079	2/13/2003	File Server
Netware 6.5 SP7	Raid 5		3963	7/9/2008	Email Server
Netware 6.5 SP7		2			
Netware 5.1 SP6	Raid 5		1733	4/1/2001	File Server
Netware 5.1 SP6		1			
Suse Linux Enterprise Server 10	Raid 5		4718	5/1/2007	Spam Appliance
Suse Linux Enterprise Server 10		1			
None	Raid 5		4601	4/19/2007	Forensics Image Server
None		1			
Not Deployed	Mirror		4899	5/1/2008	Future SQL
Not Deployed	Mirror		4898	5/1/2008	Future SQL
Not Deployed		2			

H:\IT Inventory\DSOS Server Inventory Sep 2008

10/1/2008 11:54 AM

Appendix D. IT Infrastructure Asset Listing – DSOS Operating System Software Inventory

DSOS - Operating System Inventory	
PC Operating Systems	Number of Licenses
Microsoft Vista	1
Microsoft Windows XP Professional	255
Microsoft Windows 2000 Professional	7
Server Operating Systems	
Microsoft Windows Server 2003 R2, Enterprise x64	2
Microsoft Windows Server 2003, Enterprise x64	1
Microsoft Windows Server 2003, Enterprise	9
Microsoft Windows Server 2003 R2, Standard x64	1
Microsoft Windows Server 2003, Standard	2
Microsoft Windows 2000 Advanced Server	5
PGP Linux	1
Netware 6.5 SP7	2
Netware 5.1 SP6	1
Suse Linux Enterprise Server 10	1

Appendix E. IT Infrastructure Asset Listing – DSOS Productivity Suite Inventory

DSOS - Productivity Suite Software Inventory		
Productivity Suite	Category	Count
Microsoft Office PRO Edition 2003	Desktop	172
Microsoft Office PRO Edition 2003	Laptop	34
Microsoft Office PRO Edition 2003	Total	206
Microsoft Office XP PRO	Desktop	24
Microsoft Office XP PRO	Laptop	1
Microsoft Office XP PRO	Total	25
Microsoft Office Suite 2007 SP1		1